

UNCLASSIFIED



FEDERAL BUREAU OF INVESTIGATION
POLICY DIRECTIVE

0457D

1. Policy Directive Title.	IMD Statement of Authorities and Responsibilities
2. Publication Date.	2011-10-05
3. Effective Date.	2011-10-05
4. Review Date.	2020-10-07

5. Date of Last Renewal.
5/2/2017

6. Authorities:

- 6.1. Title 5 United States Code (U.S.C.) Section (§) 552, as amended [Freedom of Information Act (FOIA)]
- 6.2. 5 U.S.C. § 552a, as amended [Privacy Act of 1974]
- 6.3. 18 U.S.C. § 641, Public money, property or records
- 6.4. 18 U.S.C. § 2071, Concealment, removal, or mutilation generally
- 6.5. 44 U.S.C. Chapter 21, "National Archives and Records Administration"
- 6.6. 44 U.S.C. Chapter 29, "Records Management by the Archivist of the United States"
- 6.7. 44 U.S.C. Chapter 31, "Records Management by Federal Agencies"
- 6.8. 44 U.S.C. Chapter 33, "Disposal of Records"
- 6.9. 44 U.S.C. Chapter 35, "Coordination of Federal Information Policy"
- 6.10. 44 U.S.C. Chapter 36, "Management and Promotion of Electronic Government Services"
- 6.11. Title 5 Code of Federal Regulations (CFR) Part 293, Personnel Records
- 6.12. 36 CFR Chapter 12, Subchapter B, "Records Management"
- 6.13. Office of Management and Budget (OMB) Circular A-130, *Managing Information as a Strategic Resource*
- 6.14. OMB M-12-18, "Managing Government Records Directive"
- 6.15. *Presidential Memorandum - - Managing Government Records* (November 28, 2011)
- 6.16. Executive Order (EO) 10450, *Security Requirements for Government Employment*
- 6.17. EO 13392, *Improving Agency Disclosure of Information*
- 6.18. EO 13526, *Classified National Security Information*
- 6.19. Department of Justice (DOJ) Order 0801, *Records and Information Management*

7. Purpose:

The purpose of this policy directive (PD) is to establish the authorities and responsibilities of the Information Management Division (IMD) (formerly Records Management Division [RMD]).

8. Policy Statement:

IMD's mission is to ensure that the right records are created, made available to the right people, at the right time, for the right reasons, and then disposed of in the right way when their usefulness to the Federal Bureau of Investigation (FBI) has ended.

9. Scope:

This PD applies to all FBI programs, FBI Headquarters (FBIHQ) divisions, field offices (FO), and legal attaché (Legat) offices.

10. Proponent:

Information Management Division

11. Roles and Responsibilities:

11.1. The assistant director (AD), IMD must:

11.1.1. Serve as the FBI records officer, establishing and overseeing a comprehensive FBI-wide Records Management Program.

11.1.2. Oversee the management of FBI records throughout their life cycles, including records creation, maintenance and use, and disposition of recorded information in all formats.

11.1.3. Appoint an FBI-wide vital records program manager (PM) who oversees the FBI's Vital Records Program.

11.2. Division Operations, IMD must:

11.2.1. Facilitate the achievement of IMD program goals by providing administrative, human resources (HR), professional development, logistics management, financial management, and security program support and execution.

11.2.2. Provide training to personnel concerning their responsibilities related to the creation, maintenance, and disposition of FBI records.

11.2.3. Provide guidance and training to FBI personnel on storing and securing records to reduce the risk of damage and loss of information, including guidance to assist in saving or mitigating the loss of information in records and restoring original records to a useful condition, if possible.

11.3. The Records Policy and Administration Section (RPAS), IMD must:

11.3.1. Develop and implement policies and procedures governing the creation, organization, maintenance, use, preservation, disposition, and transfer of all FBI records regardless of format.

11.3.2. Conduct periodic FBI records reviews and evaluations to ensure compliance with records management policies and procedures.

11.3.3. Develop and maintain a network of records liaisons in all FBIHQ divisions, FOs, and Legat offices.

11.3.4. Manage and regularly update the FBI *Records Retention Plan* and coordinate requests for, and receipt of, all disposition authorities with the National Archives and Records Administration (NARA).

11.3.5. Oversee the storage and maintenance of records in FBIHQ storage areas, and advise FBI personnel regarding their records storage and maintenance activities.

11.3.6. Manage the transfer of permanent records to NARA and the destruction of temporary records that have met their retention periods.

11.3.7. Process legal hold, records modification, case consolidation, serial transfer, permanent charge out, and expungement requests.

11.3.8. Conduct and manage FBI-wide record inventories.

11.3.9. Collaborate with RAS in the development of records management policies for electronic media.

11.3.10. Work with the Resource Planning Office (RPO) and RAS to ensure that records disposition is properly documented in the Sentinel records management application (RMA).

11.4. RAS, IMD must:

11.4.1. Collaborate with RPAS in the development of records management policies for electronic media.

11.4.2. Provide document conversion services (both imaging and optical character recognition) through the Document Conversion Laboratory (DocLab).

11.4.3. Conduct electronic recordkeeping certification (ERKC) reviews of all information systems used in the conduct of FBI activities.

11.4.4. Work with RPO and RPAS to ensure records disposition is properly documented in the Sentinel RMA.

11.4.5. Ensure that proper records management requirements are incorporated into the design and deployment of new information and knowledge management systems, which includes monitoring system compliance with records management requirements.

11.4.6. Coordinate and guide the incorporation of electronic recordkeeping (ERK) requirements into information technology (IT) system development throughout the enterprise.

11.5. The Record/Information Dissemination Section (RIDS), IMD must:

11.5.1. Plan, develop, direct, and manage responses to requests for FBI information in accordance with the requirements of FOIA, the Privacy Act of 1974, EO 13392, EO 13526, and other applicable Presidential, Attorney General (AG), and FBI policies, procedures, and other mandates, judicial decisions, and Congressional directives.

11.5.2. Coordinate with the Office of the General Counsel (OGC) regarding specific FOIA requests.

11.5.3. Respond to declassification requests from FBIHQ divisions, FOs, and Legat offices.

11.5.4. Manage the prepublication review program.

11.6. The National Name Check Program (NNCP) Section, IMD must research, analyze, and disseminate information from FBI files in response to name check requests received from federal agencies, including components within the legislative, judicial, and executive branches of the federal government, and in accordance with applicable laws and requirements, including EO 10450.

12. Exemptions:

None

13. Supersession:

PD 0457D, *IMD Statement of Authorities and Responsibilities*

14. References, Links, and Forms:**14.1. References**

14.1.1. [Records Management Policy Guide \(0769PG\)](#)

15. Key Words, Definitions, and Acronyms:**15.1. Definitions**

15.1.1. Adequate and proper documentation: a record of the conduct of government business that is complete and accurate to the extent required to document the organization, functions, policies, decisions, procedures, and essential transactions of the agency and that is designed to furnish the information necessary to protect the legal and financial rights of the government and of persons directly affected by the agency's activities.

15.1.2. Electronic recordkeeping certification: mandatory, comprehensive evaluation of the technical and nontechnical electronic records management features of a system, to determine whether the system satisfies electronic recordkeeping criteria.

15.1.3. Information management: the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to the organized collection, processing, transmission, and dissemination of information.

15.1.4. Life cycle: the concept that records pass through several stages, which are creation, maintenance and use, and disposition.

15.1.5. Personnel: any individual employed by, detailed, or assigned to the FBI, including members of the armed forces; an expert or consultant to the FBI; an industrial or commercial contractor, licensee, certificate holder, or grantee of the FBI, including all subcontractors; a personal service contractor of the FBI; or any other category or person who acts for or on behalf of the FBI, as determined by the FBI Director.

15.1.6. Records: all recorded information, regardless of form or characteristics, made or received by a federal agency under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States government (USG) or because of the informational value of data in them. Records do not include library or museum material made or acquired and preserved solely for reference or exhibition purposes or duplicate copies of records preserved for convenience. Recorded information includes all traditional forms of records, regardless of physical form or characteristics, including information created, manipulated, communicated, or stored in digital or electronic form (see 44 U.S.C. § 3301).

15.1.7. Records audits: independent review and examination of records and activities to test for compliance with established policies and standards, often with recommendations for changes in controls or procedures.

15.1.8. Records inventories: a detailed listing that includes the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records in order to evaluate, appraise, and organize the information.

15.1.9. Records liaison: an individual designated by the FBIHQ division/FO who facilitates the coordination of records management issues at the FBIHQ division/FO level.

15.1.10. Records management: the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of agency operations.

15.1.11. Vital records: essential FBI records needed to meet operational responsibilities under national security emergencies or other emergency or disaster conditions or to protect the legal and financial rights of the FBI and those affected by the FBI.

15.1.12. Vital records officer: identifies and maintains vital records in accordance with established requirements, provides training on vital records policies and procedures for division personnel, and coordinates with IMD, at least annually, to develop an action plan for the protection of vital records.

15.2. Acronyms

15.2.1. AD: assistant director

15.2.2. AG: Attorney General

15.2.3. CFR: Code of Federal Regulations

15.2.4. DocLab: Document Conversion Laboratory

15.2.5. DOJ: Department of Justice

15.2.6. EO: executive order

15.2.7. ERK: electronic recordkeeping

15.2.8. ERKC: electronic recordkeeping certification

15.2.9. FBI: Federal Bureau of Investigation

15.2.10. FBIHQ: Federal Bureau of Investigation Headquarters

- 15.2.11. FO: field office
- 15.2.12. FOIA: Freedom of Information Act
- 15.2.13. HR: human resources
- 15.2.14. IT: information technology
- 15.2.15. Legat: legal attaché [office]
- 15.2.16. NARA: National Archives and Records Administration
- 15.2.17. NNCP: National Name Check Program [Section]
- 15.2.18. OGC: Office of the General Counsel
- 15.2.19. OMB: Office of Management and Budget
- 15.2.20. PD: policy directive
- 15.2.21. PM: program manager
- 15.2.22. RAS: Records Automation Section
- 15.2.23. RIDS: Record/Information Dissemination Section
- 15.2.24. RMA: records management application
- 15.2.25. IMD: Information Management Division
- 15.2.26. RPAS: Records Policy and Administration Section
- 15.2.27. RPO: Resource Planning Office
- 15.2.28. U.S.C.: United States Code
- 15.2.29. USG: United States government

16. Appendices and Attachments:

None

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